


Please type a plus sign (+) inside this box → 

06/22/01  
1c860 U.S. PTO

PTO  
09/886485  
06/22/01

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	AP33460-070457.1024
First Inventor	Edward J. Hogan
Title	An Improved Method * see attached
Express Mail Label No.	EF321684989US

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
  2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
  3. ☒ Specification [Total Pages (preferred arrangement set forth below)
    - Descriptive title of the invention
    - Cross Reference to Related Applications
    - Statement Regarding Fed sponsored R & D
    - Reference to sequence listing, a table, or a computer program listing appendix
    - Background of the Invention
    - Brief Summary of the Invention
    - Brief Description of the Drawings (if filed)
    - Detailed Description
  4. ☒ Claim(s) [Total Sheets   - 5. ☒ Abstract of the Disclosure [Total Sheets   - 4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets   - 5. Oath or Declaration [Total Pages   - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

### ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_


Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label  21003 or ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Robert C. Scheinfeld	Registration No. (Attorney/Agent)	31,300
Signature		Date	6/21/01

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 790

## Complete if Known

Application Number

Filing Date

First Named Inventor

Edward J. Hogan

Examiner Name

Group Art Unit

Attorney Docket No.

AP33460-070457.1024

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-4377

Deposit  
Account  
Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee  
(\$)

Fee  
(\$)

Fee Description

Fee Paid

710

355

Utility filing fee

710

320

160

Design filing fee

490

245

Plant filing fee

710

355

Reissue filing fee

150

75

Provisional filing fee

SUBTOTAL (1) (\$ 710

### 2. EXTRA CLAIM FEES

Total Claims 14 .20\*\* = 0 x 80 = 0  
Independent Claims 4 -3\*\* = 1 x 80 = 80  
Multiple Dependent ☐ = ☐

Large Entity Small Entity

Fee  
(\$)

Fee  
(\$)

Fee Description

18

9

Claims in excess of 20

80

40

Independent claims in excess of 3

270

135

Multiple dependent claim, if not paid

80

40

\*\* Reissue independent claims  
over original patent

18

9

\*\* Reissue claims in excess of 20  
and over original patent

SUBTOTAL (2) (\$ 80

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large  
Entity  
Fee  
(\$)

Small  
Entity  
Fee  
(\$)

Fee Description

Fee Paid

130

65

Surcharge - late filing fee or oath

50

25

Surcharge - late provisional filing fee or  
cover sheet

130

130

Non-English specification

2,520

2,520

For filing a request for *ex parte* reexamination

920\*

920\*

Requesting publication of SIR prior to  
Examiner action

1,840\*

1,840\*

Requesting publication of SIR after  
Examiner action

110

55

Extension for reply within first month

390

195

Extension for reply within second month

890

445

Extension for reply within third month

1,390

695

Extension for reply within fourth month

1,890

945

Extension for reply within fifth month

310

155

Notice of Appeal

310

155

Filing a brief in support of an appeal

270

135

Request for oral hearing

1,510

1,510

Petition to institute a public use proceeding

110

55

Petition to revive - unavoidable

1,240

620

Petition to revive - unintentional

1,240

620

Utility issue fee (or reissue)

440

220

Design issue fee

600

300

Plant issue fee

130

130

Petitions to the Commissioner

50

50

Processing fee under 37 CFR 1.17(q)

180

180

Submission of Information Disclosure Stmt

40

40

Recording each patent assignment per  
property (times number of properties)

710

355

Filing a submission after final rejection  
(37 CFR § 1.129(a))

710

355

For each additional invention to be  
examined (37 CFR § 1.129(b))

710

355

Request for Continued Examination (RCE)

900

900

Request for expedited examination  
of a design application

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

## SUBMITTED BY

Name (Print/Type)

Robert C. Scheinfeld

Registration No.  
(Attorney/Agent)

31,300

## Complete (if applicable)

Telephone

(212) 408-2512

Signature

Date

6/21/01

## Addendum Sheet 1

## \*Question 4 Addendum

4.a. Drawings are ☒ formal ☐ informal

## \* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

## \* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

## \* Question 9 Addendum

9.a. ☒ Assignment documents will follow.9.b. ☐ Assignment documents have been filed in  
parent application No.

## \* Question 11 Addendum

11.a. ☐ English translation will follow.

## \* Question 12 Addendum

12.a. ☐ Copies of IDS citations will follow.

## \* Question 15 Addendum

15.a. ☐ Certified copies of priority documents will follow.15.b. ☐ Certified copies of priority documents have been filed in parent  
application No.

Use the space below for additional information

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Title (continued):

An Improved Method and System for Conducting Secure Payments Over a Computer  
Network

T02290" 5849860

## Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Provisional Applications:

Serial No: see attached sheet

Filing Date: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

T02290 "S43850"

Addendum Sheet 3

Priority under 35 U.S.C. § 119 is claimed based, as stated on pages 1-2 of the specification, upon the following provisional and non-provisional applications:

Serial No. 60/226,227	Filing Date: 8/18/00
Serial No. 60/213,063	Filing Date: 6/21/00
Serial No. 09/833,049	Filing Date: 4/11/01
Serial No. 60/195,963	Filing Date: 4/11/00
Serial No. 09/809,367	Filing Date: 3/15/01

09836496-062201

BAKER BOTTS L.L.P.  
30 ROCKEFELLER PLAZA  
NEW YORK, NEW YORK 10112

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TO ALL WHOM IT MAY CONCERN:

Be it known that WE, EDWARD J. HOGAN and CARL M. CAMPBELL, citizens of the United States of America, residing in Larchmont, County of Westchester, State of New York and Newtown Square, County of Delaware, State of Pennsylvania, respectively, whose post office addresses are 14 N. Chatworth Avenue, Larchmont, New York 10538; and 809 Malin Road, Newtown Square, Pennsylvania 19073, respectively, have invented an improvement in

AN IMPROVED METHOD AND SYSTEM FOR CONDUCTING  
SECURE PAYMENTS OVER A COMPUTER NETWORK

of which the following is a

SPECIFICATION

PRIORITY APPLICATIONS

[0001] This application claims priority to United States provisional application 60/226,227, filed on August 18, 2000, and entitled "Method and System for Conducting Secure MasterCard Payments Over a Computer Network", which is hereby incorporated by reference, and to provisional application 60/213,063, filed on June 21, 2000, entitled "An Improved Method and System for Conducting Secure Payments Over a Computer Network", which is also hereby incorporated by reference. This application further claims priority to United States application serial number 09/833,049, filed on April 11, 2001, entitled "An Improved Method and System for Conducting Secure Payments Over

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FO22290-58798860